

U. S. DEPARTMENT OF EDUCATION
WASHINGTON D.C. 20006-8512

Archived Information

OFFICE OF POSTSECONDARY EDUCATION
HIGHER EDUCATION PROGRAMS

INSTITUTIONAL DEVELOPMENT AND UNDERGRADUATE EDUCATION SERVICE

**APPLICATION FOR GRANTS UNDER THE
STRENGTHENING HISTORICALLY BLACK
COLLEGES AND UNIVERSITIES PROGRAM
AND**

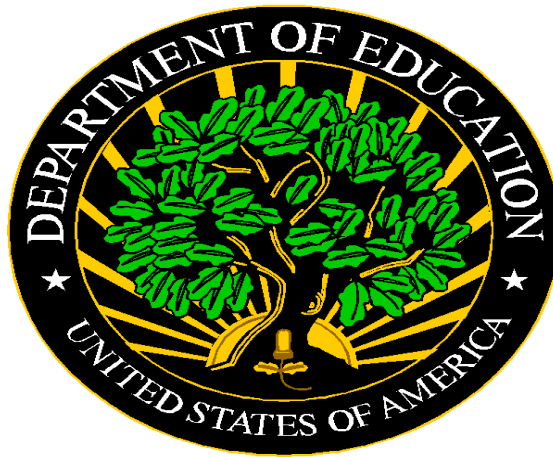
***Historically Black Graduate
Institutions PROGRAM***

FISCAL YEAR 2004

CFDA NUMBER: 84.031B

OMB NO. 1840-0113

Expiration:02/28/07



DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE:

April 16, 2004 (Formula Data)

June 10, 2004 (Narrative)

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IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
GRANT AND CONTRACT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url: <http://www.ed.gov/offices/ocfo/contracts/currfrfp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0113. Expiration date: 2/28/07. The time required to complete this information collection is estimated to average 4 hours per response for Formula Data, and 18 hours per response for application narrative, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimates or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of the required information, write directly to: Bennie Samuels, Team Leader, Strengthening Institutions Team B, Institutional Development and Undergraduate Education Service, Office of Postsecondary Education, 1990 K St., N.W. Washington, DC 20006-8512.

Formatting Instructions

Page Limits

As part of the continuing effort to streamline grant application, please observe the page limit requirements. If you do not, it could delay the processing of your application. The grand total page limit for a grant application, under the Historically Black Colleges and Universities Program and the Historically Black Graduate Institutions Program is **85** pages. The page limit for each type of program is all-inclusive, which means that every page submitted as part of the grant application, as well as every page of every document submitted in support of the grant application, will count toward the page limit.

Page Format

- Type all narratives in font size 12, double-spaced (except for the project abstract) on plain or off- white bond paper.
- Type on one side of the page only.
- Type the name of the institution and the state where it is located at the top of each page.
- Number the pages consecutively starting with the Table of Contents by placing a page number on the bottom right of each page.
- ED 424 will serve as the cover page for the application.
- A 'page' is 8.5" x 11" on one side only, with 1" margins top, bottom, right and left.
- You must double- space all text in the application narrative, including titles and headings. However, while you may single- space the abstract, footnotes, quotations, references, captions, forms (including ED Forms), and tables, **you must still use font size 12**. In addition, you can single space and use smaller fonts for clarity in charts, figures and graphs.

**SECTION I - Historically Black Colleges and
Universities**

(RESERVED)

**SECTION II - Historically Black Graduate
Institutions**

Dear Applicant:

The Secretary of Education is accepting applications for new grant awards under the Strengthening Historically Black Graduate Institutions (HBGI) Program, Title III, Part B of the Higher Education Act of 1965, as amended, for Fiscal Year 2004. This program is designed to award grants to postgraduate institutions that are making a substantial contribution to the legal, medical, dental, veterinary, or other graduate education opportunities in mathematics, engineering, or the physical or natural sciences for Black Americans. Please refer to the program statute regulations in Section II of this application booklet for the specific uses of funds under the program.

Please note that at the time of your application for a new 5-year grant award, you must complete and submit Sections II, III, and IV of the application package. For each of the remaining years of your grant, years 2, 3, 4 and 5, you must complete and submit the formula data, which is described in Section I (see Section 326 of the program statute).

I urge you to carefully review the information in this application booklet before preparing your application. If you have any questions, please contact the program staff at (202) 502-7777.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

INSTRUCTIONS FOR COMPLETING DATA COLLECTION FOR FORMULA TO ALLOCATE EXCESS HBGI GRANT AWARD FUNDS UNDER SECTION 326 (f) "FUNDING RULE"

Section 326 (f) of the Higher Education Act of 1965, as amended, requires that HBGI appropriations in excess of \$28,600,000 be allocated according to a formula comprised of five elements. The five elements of the formula, as stated in the law, with instructions for completing the data form are identified below.

Formula Element A. "The ability of the institution to match Federal funds with non-Federal funds."

1. Self-explanatory

Formula Element B. "The number of students enrolled in the programs for which the eligible institution received funding under this section in the previous year."

2. Provide the number of students enrolled (fall full-time equivalent enrollment) in the qualified graduate programs at your eligible HBGI which received funding under Section 326 in the previous year. Also provide the name of the qualified graduate programs (QGP) in which the students were enrolled for the previous year.

Formula Element C. "The average cost of education per student, for all full-time graduate or professional students (or the equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs."

Provide the average cost of education per student, for all full-time graduate or professional students, (or equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs.

NOTE: The average cost of education for each qualified graduate program should include the following elements: instruction, research, public service, academic support (including library expenditures), student services, institutional support, scholarships and fellowships, operation and maintenance of physical plant, and any mandatory transfers that the institution is required to pay by law that are related to the institution's qualified graduate programs. Please explain the methodology used for arriving at the average cost of education for your institution's qualified graduate programs.

Formula Element D. "The number of students in the previous year who received their first professional or doctoral degree from the programs for which the eligible institution received funding under this section in the previous year."

Provide the number of students in the previous academic year (2001-02) who received their first professional or doctoral degree from the program for which the eligible institution received funding under Section 326 in the previous year.

Formula Element E. "The contribution, on a percentage basis, of the programs for which the institution is eligible to receive funds under this section to the total number of African Americans receiving graduate or professional degrees in the professions or disciplines related to the programs for the previous year."

Please list each QGP for which your institution awarded graduate or professional degrees in the previous year. For each of these QGPs, provide the total number of African American graduates of these programs by degree level (masters, first professional, or doctorate).

DATA COLLECTION FOR FORMULA TO ALLOCATE EXCESS HBGI GRANT AWARD FUNDS UNDER SECTION 326 (f) "FUNDING RULE"

Formula Data is submitted with the initial application and annually during the five-Year grant cycle.

Name of Institution: _____ P031B_____

1. Formula Element A - Ability to Match

Has your institution matched HBGI funds prior to 2000?

Circle one: YES NO

If NO, has your institution matched Federal grant funds under some other Federal program prior to FY 2000?

Circle one: YES NO

If YES, please provide the name of the Federal program and the amount of the institution's matching contribution under that program and the year of the match.

Name of Program: _____

Amount: \$ _____ Year: _____

2. Formula Element B - Student Enrollment

Name of QGP	No. of Students
_____	_____
_____	_____
_____	_____
_____	_____

3. Formula Element C - Average Cost of Education

Average Cost of Education Per Student: \$ _____

4. Formula Element D - Graduates - Professional Programs

No. of Students	Professional\Doctoral Degree Program
_____	_____
_____	_____
_____	_____

5. Formula Element E - Graduates - African Americans

	QGP	Type of Degree	Total Number of Graduates	Total No. of African Amer Graduates
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4	_____	_____	_____	_____

I attest to the accuracy of the data provided.

President's Signature

Date

HIGHER EDUCATION ACT OF 1965

PART B - STRENGTHENING HISTORICALLY BLACK GRADUATE INSTITUTIONS

SEC. 326. PROFESSIONAL OR GRADUATE INSTITUTIONS.

(a) **GENERAL AUTHORIZATION.**— (1) Subject to the availability of funds appropriated to carry out this section, the Secretary shall

award program grants to each of the postgraduate institutions listed

in subsection (e) that is determined by the Secretary to be making

a substantial contribution to the legal, medical, dental, veterinary,

or other graduate education opportunities in mathematics, engineering, or the physical or natural sciences for Black Americans.

(2) No grant in excess of \$1,000,000 may be made under this section unless the postgraduate institution provides assurances that 50 percent of the cost of the purposes for which the grant is

made will be paid from non-Federal sources, except that no institution

shall be required to match any portion of the first \$1,000,000 of the institution's award from the Secretary. After funds are made

available to each eligible institution under the funding rules described in subsection (f), the Secretary shall distribute, on a pro

rata basis, any amounts which were not so made available (by reason

of the failure of an institution to comply with the matching requirements of this paragraph) among the institutions that have complied with such matching requirement.

(b) **DURATION.**— Grants shall be made for a period not to exceed 5 years.

(c) **USES OF FUNDS.**— A grant under this section may be used for—

(1) purchase, rental or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(2) construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;

(3) purchase of library books, periodicals, technical and

HIGHER EDUCATION ACT OF 1965 Sec. 326

other scientific journals, microfilm, microfiche, and other educational

materials, including telecommunications program materials;

(4) scholarships, fellowships, and other financial assistance for needy graduate and professional students to permit the enrollment

of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;

(5) establish or improve a development office to strengthen and increase contributions from alumni and the private sector;

(6) assist in the establishment or maintenance of an institutional

endowment to facilitate financial independence pursuant to section 331; and

(7) funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems.

(d) APPLICATION.— Any institution eligible for a grant under this section shall submit an application which—

(1) demonstrates how the grant funds will be used to improve graduate educational opportunities for Black and low-income students, and lead to greater financial independence; and

(2) provides, in the case of applications for grants in excess of \$1,000,000, the assurances required by subsection (a)(2) and specifies the manner in which the eligible institution is going to pay the non-Federal share of the cost of the application.

(e) ELIGIBILITY.—

(1) IN GENERAL.— Independent professional or graduate institutions

and programs eligible for grants under subsection (a) are the following 1

(A) Morehouse School of Medicine;

(B) Meharry Medical School;

(C) Charles R. Drew Postgraduate Medical School;

(D) Clark-Atlanta University;

(E) Tuskegee University School of Veterinary Medicine and other qualified graduate programs;

(F) Xavier University School of Pharmacy and other qualified graduate programs;

(G) Southern University School of Law and other

qualified graduate programs;

(H) Texas Southern University School of Law and School of Pharmacy and other qualified graduate programs;

(I) Florida A&M University School of Pharmaceutical Sciences and other qualified graduate programs;

(J) North Carolina Central University School of Law and other qualified graduate programs;

(K) Morgan State University qualified graduate program;

(L) Hampton University qualified graduate program;

(M) Alabama A&M qualified graduate program;

(N) North Carolina A&T State University qualified graduate program;

(O) University of Maryland Eastern Shore qualified graduate program;

(P) Jackson State University qualified graduate program;

(Q) Norfolk State University qualified graduate programs;
and

(R) Tennessee State University qualified graduate programs.

(2) QUALIFIED GRADUATE PROGRAM.—

(A) For the purposes of this section, the term ``qualified graduate program'' means a graduate or professional program that provides a program of instruction in the physical or natural sciences, engineering, mathematics, or other scientific discipline in which African Americans are underrepresented and has students enrolled in such program at the time of application for a grant under this section.

(B) Notwithstanding the enrollment requirement contained in subparagraph (A), an institution may use an amount equal to not more than 10 percent of the institution's grant under this section for the development of a new qualified graduate program.

(3) SPECIAL RULE.— Institutions that were awarded grants under this section prior to October 1, 1998, shall continue to receive such grants, subject to the availability of appropriated funds, regardless of the eligibility of the institutions described in subparagraphs (Q) and (R) of paragraph (1).

(4) ONE GRANT PER INSTITUTION.— The Secretary shall not award more than 1 grant under this section in any fiscal year to any institution of higher education or university system.

(5) INSTITUTIONAL CHOICE.— The president or chancellor of the institution may decide which graduate or professional

school or qualified graduate program will receive funds under the grant in any 1 fiscal year, if the allocation of funds among the schools or programs is delineated in the application for funds submitted to the Secretary under this section.

(f) FUNDING RULE.— Subject to subsection (g), of the amount appropriated to carry out this section for any fiscal year—

(1) the first \$26,600,000 (or any lesser amount appropriated) shall be available only for the purposes of making grants to institutions or programs described in subparagraphs (A) through (P) of subsection (e)(1);

(2) any amount in excess of \$26,600,000, but not in excess of \$28,600,000, shall be available for the purpose of making grants to institutions or programs described in subparagraphs (Q) and (R) of subsection (e)(1); and

(3) any amount in excess of \$28,600,000, shall be made available to each of the institutions or programs identified in subparagraphs (A) through (R) pursuant to a formula developed by the Secretary that uses the following elements:

(A) The ability of the institution to match Federal funds with non-Federal funds.

(B) The number of students enrolled in the programs for which the eligible institution received funding under this section in the previous year.

(C) The average cost of education per student, for all full-time graduate or professional students (or the equivalent) enrolled in the eligible professional or graduate school, or for doctoral students enrolled in the qualified graduate programs.

(D) The number of students in the previous year who received their first professional or doctoral degree from the programs for which the eligible institution received funding under this section in the previous year.

(E) The contribution, on a percent basis, of the programs for which the institution is eligible to receive funds under this section to the total number of African Americans receiving graduate or professional degrees in the professions or disciplines related to the programs for the previous year.

(g) HOLD HARMLESS RULE.— Notwithstanding paragraphs (2) and (3) of subsection (f), no institution or qualified program identified in subsection (e)(1) that received a grant for fiscal year 1998 and that is eligible to receive a grant in a subsequent fiscal year shall receive a grant amount in any such subsequent fiscal year

that is less than the grant amount received for fiscal year 1998, un-less the amount appropriated is not sufficient to provide such grant amounts to all such institutions and programs, or the institution cannot provide sufficient matching funds to meet the requirements of this section.

SEC. 327. REPORTING AND AUDIT REQUIREMENTS.

(a) RECORDKEEPING.— Each recipient of a grant under this part shall keep such records as the Secretary shall prescribe, including

records which fully disclose—

- (1) the amount and disposition by such recipient of the proceeds of such assistance;
- (2) the cost of the project or undertaking in connection with which such assistance is given or used;
- (3) the amount of that portion of the cost of the project or undertaking supplied by other sources; and
- (4) such other records as will facilitate an effective audit.

(b) REPAYMENT OF UNEXPENDED FUNDS.— Any funds paid to an institution and not expended or used for the purposes for which the funds were paid within 10 years following the date of the initial grant awarded to an institution under part B of this title shall be repaid to the Treasury of the United States.

PART 609-STRENGTHENING HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM

Subpart A-General

- 609.1 What is the Strengthening Historically Black Graduate Institutions Program?
- 609.2 What institutions are eligible to receive a grant under this part?
- 609.3 What regulations apply?
- 609.4 What definitions apply?

Subpart B-What Kind of Project Does the Secretary Fund?

- 609.10 What activities may be carried out under a grant?
- 609.11 What is the duration of a grant?

Subpart C-How Does an Eligible Institution Apply for a Grant?

- 609.20 What are the application requirements for a grant under this part?
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Subpart D-How Does the Secretary Make a Grant?

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Subpart E-What Conditions Must a Grantee Meet?

- 609.40 What are the matching requirements?
- 609.41 What are allowable costs and what are the limitations on allowable costs?
- 609.42 What are the audit and repayment requirements?
- 609.43 Under what conditions does the Secretary terminate a grant?

Authority: 20 U.S.C. 1063b and 1063c, unless otherwise noted.

Source: 59 FR 38717, July 20, 1993, unless otherwise noted.

Subpart A-General

- ☞ **609.1** What is the Strengthening Historically Black Graduate Institutions Program?
The Strengthening Historically Black Graduate Institutions Program provides grants to the institutions listed in ☞609.2 to assist these institutions in establishing and strengthening their physical plants, development offices, endowment funds, academic resources and student services so that they may continue to participate in fulfilling the goal of equality of educational opportunity in graduate education.
(Authority: 20 U.S.C. 1060 and 1063b)
- ☞ **609.2** What institutions are eligible to receive a grant under this part?
 - (a) An institution or an institution's qualified graduate program listed in paragraph b) of this section is eligible to receive a grant under this part if the Secretary determines that the institution is making a substantial contribution

to legal, (b) medical, dental, veterinary or other graduate education opportunities for Black Americans.

(b) The institutions and programs referred to in paragraph (a) of this section are-

- (1) Morehouse School of Medicine;
- (2) Meharry Medical School;
- (3) Charles R. Drew Postgraduate Medical School;
- (4) Clark Atlanta University;
- (5) Tuskegee Institute School of Veterinary Medicine;
- (6) Xavier University School of Pharmacy;
- (7) Southern University School of Law;
- (8) Texas Southern University School of Law and School of Pharmacy; ²³¹
- (9) Florida A&M University School of Pharmaceutical Sciences;
- (10) North Carolina Central University School of Law;
- (11) Morgan State University's qualified graduate program;
- (12) Hampton University's qualified graduate program;
- (13) Alabama A&M's qualified graduate program;
- (14) North Carolina A&T State University's qualified graduate program;
- (15) University of Maryland Eastern Shore's qualified graduate program; and
- (16) Jackson State University's qualified graduate program.

(c) An institution that was awarded a grant prior to October 1, 1992 may continue to receive grant payments, regardless of the eligibility of the graduate institutions described in paragraphs (b)(6) through (16) of this section, until the institution's grant period has expired or September 30, 1993, whichever is later.

(d) No institution of higher education or university system may receive more than one grant under this section in any fiscal year.

(Authority: 20 U.S.C. 1063b(e))

§ 609.3 What regulations apply?

The following regulations apply to this part:

(a) The Department of Education General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) The following sections of 34 CFR part 75 (Direct Grant Programs):
§§ 75.1-75.104, 75.125-75.129, 75.190-75.192, 75.230-75.261, 75.500,
75.510-75.519, 75.524-75.534, 75.580-75.903, and 75.901;

- (3) 34 CFR part 77 (Definitions that Apply to Department Regulations).
- (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
- (5) 34 CFR part 82 (New Restrictions on Lobbying).
- (6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants))
- (7) 34 CFR part 86 (Drug-Free Schools and Campuses).
- (b) The regulations in this part 609.
- (Authority: 20 U.S.C. 1063b)

§ 609.4 What definitions apply?

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR 77.1:

Applicant
Application
Award
Budget
EDGAR
Equipment
Fiscal year
Grant period
Private
Project period
Public
Secretary

(b) The following definition applies to a term used in this part:

Qualified graduate program means a graduate or professional program that-

- (i) Provides a program of instruction in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented;
- (ii) Has been accredited or approved by a nationally recognized accrediting agency or association. (The Secretary publishes a list in the **Federal Register** of nationally recognized accrediting agencies and associations.); and
- (iii) Has students enrolled in that program when the institution offering the program applies for a grant under this part.

(Authority: 20 U.S.C. 1063b and 1069c)

Subpart B-What Kind of Projects Does the Secretary Fund?

§ 609.10 What activities may be carried out under a grant?

(a) *Allowable activities.* Except as provided in paragraph (b) of this section, a grantee may carry out the following activities under this part-

- (1) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional or research purposes; ²³²
- (2) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- (3) Support of faculty exchanges, faculty development and faculty fellowships to assist these faculty members in attaining advanced degrees in their fields of instruction;
- (4) Academic instruction in disciplines in which Black Americans are underrepresented;
- (5) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- (6) Tutoring, counseling, and student service programs designed to improve academic success;
- (7) Funds and administrative management, and acquisition of equipment for use in strengthening funds management;
- (8) Joint use of facilities, such as laboratories and libraries;
- (9) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;
- (10) Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program preparation for teacher certification;
- (11) Establishing community outreach programs that will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education;
- (12) Other activities that it proposes in its application that contribute to carrying out the purpose of this part and are approved by the Secretary;
- (13) Establishing or improving a development office to strengthen and increase contributions from alumni and the private sector; and
- (14) Establishing and maintaining an institutional endowment under 34 CFR part 628 to facilitate financial independence.

(b) *Unallowable activities.* A grantee may not carry out the following activities under this part-

- (1) Activities that are not included in the grantee's approved application;
- (2) Activities described in paragraph (a)(12) of this section that are not approved by the Secretary;
- (3) Activities that are inconsistent with any State plan of higher education that is applicable to the institution;
- (4) Activities that are inconsistent with a State plan for desegregation of higher education that is applicable to the institution;

- (5) Activities or services that relate to sectarian instruction or religious worship; and
- (6) Activities provided by a school or department of divinity. For the purpose of this section, a "school or department of divinity" means an institution, or a department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects.

- (c) No award under this part may be used for telecommunications technology equipment, facilities or services, if such equipment, facilities or services are available pursuant to section 396(k) of the Communications Act of 1934.

(Authority: 20 U.S.C. 1062, 1063a, and 1069c)

§ 609.11 What is the duration of a grant?

The Secretary may award a grant under this part for a period of up to five academic years.

(Authority: 20 U.S.C. 1063b(b))

Subpart C-How Does an Eligible Institution Apply for a Grant?

§ 609.20 What are the application requirements for a grant under this part?

In order to receive a grant under this part, an institution must submit an application to the Secretary at such time and in such manner as the Secretary may prescribe. The application must contain-

- (a) A description of the activities to be carried out with grant funds and ²³³how those activities will improve graduate educational opportunities for Black and low-income students and lead to greater financial independence for the applicant;
- (b) A description of how the applicant is making a substantial contribution to the legal, medical, dental, veterinary or other graduate education opportunities for Black Americans;
- (c) An assurance from each applicant requesting in excess of \$500,000 that 50 percent of the costs of all the activities to be carried out under the grant will come from non-Federal sources;
- (d) A description of how the grant funds will be used so that they will supplement, and to the extent practical, increase the funds that would otherwise be made available for the activities to be carried out under the grant and in no case supplant those funds, for the activities described in §609.10(a)(1) through §609.10(a)(14);
- (e) An assurance that the proposed activities in the application are in accordance with any State plan that is applicable to the institution; and

(f)(1) A comprehensive development plan as described in §609.21; or

- (2) If an applicant has already submitted a comprehensive development plan as described in §609.21, a description of the progress the applicant has made in carrying out the goals of its plan.

(Approved by the Office of Management and Budget under control number 1840-0113)
(Authority: 20 U.S.C. 1063d and 1066(b)(2))

§ 609.21 What is a comprehensive development plan and what must it contain?

- (a) A comprehensive development plan must describe an institution's strategy for achieving growth and self-sufficiency by strengthening its-
- (1) Financial management;
 - (2) Academic programs; and
- (b) The comprehensive development plan must include the following:
- (1) An assessment of the strengths and weaknesses of the institution's financial management and academic programs.
 - (2) A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessment described in paragraph (b)(1) of this section.
 - (3) A listing of measurable objectives designed to assist the institution to reach each goal with accompanying timeframes for achieving the objectives.
 - (4) A description of methods, processes and procedures that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

(Approved by the Office of Management and Budget under control number 1840-0113)
(Authority: 20 U.S.C. 1063a)

Subpart D-How Does the Secretary Make a Grant?

§ 609.30 What is the procedure for approving and disapproving grant applications?

The Secretary approves any application that satisfies the requirements of §§609.10 and 609.20.

(Authority: 20 U.S.C. 1063a)

§ 609.31 How does the Secretary determine the amount of a grant?

Of the amount appropriated for any fiscal year-

- (a)(1) The first \$12,000,000 (or any lesser amount appropriated) shall be available only for the purpose of making grants to institutions or programs described in §609.2(b)(1) through §609.2(b)(5);
- (2) If the sum of the approved applications does not exceed the amount appropriated, the Secretary awards grants in the amounts requested and approved;

- (3) If the sum of the approved requests exceeds the sum appropriated, and Morehouse School of Medicine submits an approved request for at least \$3,000,000, and the amount appropriated exceeds \$3,000,000, the Secretary awards no less than \$3,000,000 to Morehouse School of Medicine and reduces the grants to the institutions described in §609.2(b)(1) through §609.2(b)(5) as the Secretary considers appropriate, so that the sum of the approved grants equals the amount appropriated; and ²³⁴
 - (4) If Morehouse School of Medicine submits an approved request for at least \$3,000,000 and the amount appropriated does not exceed \$3,000,000, Morehouse School of Medicine receives all the appropriated funds; and
-
- (b)(1) Any amount appropriated in excess of \$12,000,000 shall be available for the purpose of making grants, in equal amounts not to exceed \$500,000, to institutions or programs described in §609.2(b)(6) through §609.2(b)(16); and
 - (2) If any funds remain, the Secretary makes grants to institutions or programs described in §609.2(b)(1) through §609.2(b)(16).
- (Authority: 20 U.S.C. 1063b)

Subpart E-What Conditions Must a Grantee Meet?

§ 609.40 What are the matching requirements?

If an institution receives a grant in excess of \$500,000, it must spend non-Federal funds to meet the cost of at least 50 percent of the activities approved in its application.

(Authority: 20 U.S.C. 1063b)

§ 609.41 What are allowable costs and what are the limitations on allowable costs?

- (a) *Allowable costs.* Except as provided in paragraphs (b) and (c) of this section, a grantee may expend grant funds for activities that are reasonably related to carrying out the allowable activities included in its approved application.
- (b) *Supplement and not supplant.* A grantee shall use grant funds so that they supplement, and to the extent practical, increase the funds that would otherwise be available for the activities to be carried out under the grant, and in no case supplant those funds.
- (c) *Limitations on allowable costs.* A grantee may not-
 - (1) Spend more than fifty percent of its grant award in each fiscal year for costs relating to constructing or maintaining a classroom, library, laboratory, or other instructional facility; and
 - (2) Use an indirect cost rate to determine allowable costs under its grant.

(Authority: 20 U.S.C. 1062, 1063b, and 1066)

§ 609.42 What are the audit and repayment requirements?

- (a)(1) A grantee shall provide for the conduct of a compliance and financial audit of any funds it receives under this part by a qualified, independent organization or person in accordance with the Standards for Audit of Governmental Organizations, Programs, Activities, and Functions, 1981 revision, established by the Comptroller General of the United States. This publication is available from the Superintendent of Documents, U.S. Government Printing Office.
- (2) The grantee shall have an audit conducted at least once every two years, covering the period since the previous audit, and the grantee shall submit the audit to the Secretary.
- (3) If a grantee is audited under chapter 75 of title 31 of the United States Code, the Secretary considers that audit to satisfy the requirements of paragraph (a)(1) of this section.
- (b) An institution awarded a grant under this part must submit to the Department of Education Inspector General three copies of the audit required in paragraph (a) of this section within six months after completion of the audit.
- (c) Any individual or firm conducting an audit described in this section shall give the Department of Education's Inspector General access to records or other documents necessary to review the results of the audit.
- (d) A grantee shall repay to the Treasury of the United States any grant funds it received that it did not expend or use to carry out the allowable activities included in its approved application within ten years following the date of the initial grant it received under this part.

(Authority: 20 U.S.C. 1063a)

§ 609.43 Under what conditions does the Secretary terminate a grant?

The Secretary terminates any grant under which funds were not expended if an institution loses-

- (a) Its accredited status; or ²³⁵
- (b) Its legal authority in the State in which it is located.

(Authority: 20 U.S.C. 1063a)

SECTION III-APPLICATION NARRATIVE INSTRUCTIONS

SECTION III - INSTRUCTIONS

Section III is required once every five years at the beginning of the grant cycle. Section III is a compilation of the Comprehensive Development Plan (CDP), activity abstracts, activity budgets and budget narratives, summary budget, and all applicable forms and certifications.

The total page limit for an application is **85 pages** including the following:

1) table of contents, 2) comprehensive development plan, abstract of activities, objectives with performance indicators form, implementation strategies and timetables, activity budgets and activity budget narrative, and 3) ED 424, Applications for Federal Assistance, summary budget forms, position descriptions, resumes, and other forms and certifications.

Application narrative information should be submitted, unbound, in the following order: 1) ED 424, 2) Table of Contents, 3) CDP, 4) activity(s) abstract, Activity Objectives and Performance Indicators Form and Implementation Strategy and Time Table Form, activity budget and budget narrative, 5) summary budget, and 6) other documents, forms and certifications.

COMPREHENSIVE DEVELOPMENT PLAN

Institutions submitting applications for a five year grant are required to submit a Comprehensive Development Plan (CDP) in accordance with 609.21 (HBGI) of the regulations.

The CDP must describe an institution's strategy for achieving growth and self-sufficiency by strengthening its financial management and academic programs.

Elements of the CDP are as follows:

1. An assessment of the strengths and weaknesses of the institution's financial management and academic programs;
2. A delineation of the institution's goals for its financial management and academic programs, based on the outcomes of the assessments of these areas for which Title III, Part B funds will be used;
3. A listing of measurable objectives designed to assist the institution to reach each goal for which Title III, Part B funds will be used with accompanying timeframes for achieving the objectives; and,
4. A description of methods, procedures and processes that will be used by the college or university to institutionalize financial management and academic program practices and improvements developed under the proposed funded activities.

Suggested Outline for Developing the CDP

Introduction/Institutional Overview - the introduction should describe the institution's challenges and opportunities, and the institutional overview should address the history and mission, academic programs offered and areas of strength, enrollment data and student profile, graduation rates, and graduate school/professional school placement success.

Summary of the Institution's Planning Process - identify major institutional priorities.

Overview of Current Long-range Plan - describe major emphases, and goals for the current planning period.

CDP Focus - describe areas targeted for improvement; list goals related to improve academic quality, fiscal stability, institutional management, and student services; summary of activities to address CDP goals; and CDP assessment strategies.

Conclusion - provide information addressing institutionalization as required by element 4 and relevant supporting documentation.

Project Plan

The project plan should include activity abstracts, objectives and performance indicators, implementation strategies and timetables, and activity budget and budget narrative.

The CDP should be used to guide the formation of activities and objectives.

ACTIVITY ABSTRACT - Each activity must be titled using the most relevant title from the list of allowable activities authorized in the program regulations 34 CFR §609.10 for the HBGI Program. In brief detail describe the purpose of each activity.

ACTIVITY OBJECTIVES - For each activity, applicants must complete the Activity Objectives and Performance Indicators Form. Complete this form for each activity, list only the objectives that an activity is designed to accomplish. Describe the objectives in outcome-oriented, measurable terms. Objectives should be updated for each year in which funds are requested. You may reproduce the form as needed.

IMPLEMENTATION STRATEGY - For each activity, applicants must complete the Implementation Strategy and Time Table Form to describe, in a comprehensive manner who will do what, how, and when it will be done to meet the objectives of each activity. You may reproduce the form as needed.

BUDGET - For each activity, applicants must complete an Individual Activity Budget Form and an Individual Budget Narrative Form to identify and describe the costs related to the implementation of the activity.

GRANT APPLICATION FOR THE
HISTORICALLY BLACK COLLEGES AND UNIVERISTIES AND
HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAMS

FORM APPROVED
02/2004
OMB No.: 1840-0113
EXP. DATE: 02/2007

ACTIVITY OBJECTIVES AND PERFORMANCE INDICATORS FORM

NAME OF APPLICANT INSTITUTION:

ACTIVITY TITLE:

OBJECTIVES IN MEASURABLE TERMS

PERFORMANCE INDICATORS

<p align="center">GRANT APPLICATION FOR THE HISTORICALLY BLACK COLLEGES AND UNIVERSITIES AND HISTORICALLY BLACK GRADUATE INSTITUTIONS PROGRAM</p>				<p>FORM APPROVED:2/2004 OMB No.: 1840 - 0113 Exp. Date:02/28/2007</p>	
<p align="center">IMPLEMENTATION STRATEGY AND TIMETABLE FORM</p>					
<p>1. NAME OF APPLICANT INSTITUTION:</p>			<p>2. ACTIVITY TITLE:</p>		
<p>3. SPECIFIC TASKS TO BE COMPLETED</p>	<p>4. PRIMARY PARTICIPANTS</p>	<p>5. METHODS INVOLVED</p>	<p>6. TANGIBLE RESULTS</p>	<p>7. TIMEFRAME FROM/TO</p>	

INDIVIDUAL ACTIVITY BUDGET

GENERAL INSTRUCTIONS. Prepare a separate Activity Budget Form and an Individual Activity Budget Narrative Form for **each** activity and for project administration. The Activity Budget Narrative Form should **immediately follow** the Activity Budget Form for each activity.

Name of Applicant Institution

Enter the name of the institution submitting the application.

Activity Title

Applicants should use the generic titles listed in §609.10

HBGI program as titles for each activity.

Enter the title of the activity as it appears in the narrative.

Activity Number

Indicate the activity number for each activity in the application.

Personnel

Enter the title of each position for which funds are requested.

Indicate the percent of time that each person will commit to the project. Provide resumes for all key personnel as well as position or job descriptions for all persons paid with Title III, Part B funds. If the space allowed is not adequate, append as many additional activity budget sheets as necessary to list all personnel **before** completing items 2 through 9.

Fringe Benefits

Indicate the percentage rate at which benefits are calculated and the total cost for fringe benefits. List the categories of costs used to calculate fringe benefits. If fringe benefit rates are calculated differently for different personnel in the activity (e.g. faculty vs. administrative staff), provide a detailed explanation in the budget narrative. **DO NOT** include fees and expenses for consultants or for personnel who are not entitled to fringe benefits.

Travel

Grant funds may be used only for travel that is related to achieving the objectives of a specific activity during the budget period.

Provide an itemized breakdown and enter the total costs of all travel, including destinations, per diem rates, and transportation costs in the budget narrative. **International travel is only allowed as it is related to achieving the objectives of a specific activity. However, please note that approval is granted on a case by case basis.**

DO NOT include freight costs or travel expense of consultants. Freight costs, consultant costs and travel should be listed in **"other"** category.

Equipment

The amount per unit cost for equipment is \$5,000. Enter the costs for all nonexpendable personal property, both fixed and movable, necessary for achieving the objectives of the activity. Equipment means tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an

acquisition cost of \$5,000 or more per unit. **Itemized** costs should be provided in the budget narrative.

Supplies

Enter the costs of all tangible personal property except that covered under **"Equipment"**. Personal property means property of any kind except real property—land and buildings. **Itemized** costs should be provided in the budget narrative.

Contractual

Includes the estimated costs of contractual agreements with other organizations or businesses. If aggregate expenditures exceed \$5,000 you must explain the **criteria** to be used in selecting a contractor, the basis for arriving at the projected cost, and whether **competitive bids** will be sought or will some other procurement policies be used to provide for open and free competition.

Construction

Enter the estimated costs for construction.

Other

Include all direct costs not clearly covered by sub-items 1 through 8. Examples of such costs are communications, freight costs (if not included by vendor in the equipment purchase package), equipment rental, computer use charges, registration fees, and consultant costs. Use of consultants should be justified and the fees paid to consultants should be based upon established institutional policy. If there is no institutional policy then fees should be based upon fees paid to consultants in the area for identical or similar services. Provide an itemized breakdown of costs on the budget narrative.

Total Direct Costs

The Total Direct Costs is the figure for the twelve-month budget period for each activity.

INDIVIDUAL ACTIVITY BUDGET

GRANT APPLICATION FOR THE TITLE III, PART B PROGRAMS						ACTIVITY NUMBER	ACTIVITY TITLE			PAGE #	FORM APPROVED 02/2004 OMB NO. 1840-0113 EXP. DATE:02/2007	
ACTIVITY BUDGET FORM (To be completed for every major activity for which funding is requested)												
1. Name of Applicant Institution:						2. Activity Title:						
3. Budget Categories By Year		First Year		Second Year		Third Year		Fourth Year		Fifth Year		Total Funds Requested
Object Class		% of Time	Funds Requested	% of Time	Funds Requested	% of Time	Funds Requested	% of Time	Funds Requested	% of Time	Funds Requested	
a. Personnel (Position Title)			\$		\$		\$		\$		\$	
SUB-TOTAL												
b. Fringe Benefits %												
c. Travel												
d. Equipment												
e. Supplies												
f. Contractual												
g. Construction												
h. Other												
i. TOTAL DIRECT CHARGES			\$		\$		\$		\$		\$	\$

GRANT APPLICATION FOR THE TITLE III, PART B PROGRAMS

FORM APPROVED:02/2004
OMB NO. 1840-0113
EXP. DATE:02/2007

INDIVIDUAL ACTIVITY BUDGET NARRATIVE FORM

Provide detailed narrative for each budget line item. Add pages as needed.

1. Name of Applicant Institution:

2. Activity Title:

3. List of Personnel (use position title)

4. Salary Amount for Each Position

5. SUB-TOTAL

6. Fringe Benefits %	
7. Travel	
8. Equipment	
9. Supplies	
10. Contractual	
11. Construction	
12. Other	
13. TOTAL DIRECT CHARGES	

SECTION IV - Forms and Certifications

Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N | | | | - | | | | | | | | | | | |

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | | | |

Title: _____

8. Type of Applicant (Enter appropriate letter in the box.) | ____/

A - State
B - Local
C - Special District
D - Indian Tribe
E - Individual
F - Independent School District
G - Public College or University
H - Private, Non-profit College or University
I - Non-profit Organization
J - Private, Profit-Making Organization

K - Other (Specify): _____

5. Project Director: _____

Address: _____

City State Zip code + 4
Tel. #: () - Fax #: () -

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication -Application
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372
process for review): ____/____/____

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.
☐ Program has not been selected by State for review.

11. Proposed Project Dates: ____/____/____

Start Date:

End Date:

Estimated Funding

14a. Federal \$ _____.00

b. Applicant \$ _____.00

c. State \$ _____.00

d. Local \$ _____.00

e. Other \$ _____.00

f. Program Income \$ _____.00

g. TOTAL \$ _____.00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () - Fax #: () -

d. E-Mail Address: _____

e. Signature of Authorized Representative _____ Date: ____/____/____

12. Are any research activities involving human subjects planned at

any time during the proposed project period?
☐ Yes (Go to 12a.) ☐ No (Go to item 13.)

12a. Are all the research activities proposed designated to be
exempt from the regulations?

☐ Yes (Provide Exemption(s) #): _____

☐ No (Provide Assurance #): _____

13. Descriptive Title of Applicant's Project:

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
- 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
- 12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are

covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions

should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. ***If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725***

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the

comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where

appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers

that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248.

NOTICE TO ALL APPLICANTS: The Government Performance and Results Act (GPRA)

The Government Performance and Results Act (GPRA) of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency clearly states what it intends to accomplish, identifies the resources required, and regularly reports its progress to the Congress. In this way, GPRA is improving accountability for the expenditures of public funds, improving Congressional decision-making with more thorough and objective information on the effectiveness of Federal programs, and promoting a new government focus on results, cost-effectiveness, service delivery, and customer satisfaction. Your GPRA reporting requirement will be incorporated in your Annual Performance Report (APR) and Final Performance Report (FPR).

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:
The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: <http://www.whitehouse.gov/omb/grants/spoc.html>. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p style="text-align: center;">ARKANSAS</p> <p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tlcopeland@dfa.state.ar.us</p>	<p style="text-align: center;">CALIFORNIA</p> <p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 state.clearinghouse@opr.ca.gov</p>
<p style="text-align: center;">DELAWARE</p> <p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 chopkins@state.de.us</p>	<p style="text-align: center;">DISTRICT OF COLUMBIA</p> <p>Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 opgd.eom@dc.gov</p>
<p style="text-align: center;">FLORIDA</p> <p>Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 clearinghouse@dca.state.fl.us</p>	<p style="text-align: center;">GEORGIA</p> <p>Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us</p>
<p style="text-align: center;">ILLINOIS</p> <p>Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us</p>	<p style="text-align: center;">IOWA</p> <p>Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 steve.mccann@ided.state.ia.us</p>

<p style="text-align: center;">KENTUCKY</p> <p>Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 ron.cook@mail.state.ky.us</p>	<p style="text-align: center;">MAINE</p> <p>Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 287-1461 (direct) FAX: (207) 287-6489 joyce.benson@state.me.us</p>
<p style="text-align: center;">MARYLAND</p> <p>Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us</p>	<p style="text-align: center;">MICHIGAN</p> <p>Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org</p>
<p style="text-align: center;">MISSISSIPPI</p> <p>Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758</p>	<p style="text-align: center;">MISSOURI</p> <p>Carol Meyer Teresa Kirchhoff Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 meyerc@mail.oa.state.mo.us kirchhofft@mail.oa.state.mo.us</p>

<p style="text-align: center;">NEVADA</p> <p>Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliott@govmail.state.nv.us</p>	<p style="text-align: center;">NEW HAMPSHIRE</p> <p>Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us</p>
<p style="text-align: center;">NEW MEXICO</p> <p>Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us</p>	<p style="text-align: center;">NORTH CAROLINA</p> <p>Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 jeanette.furney@ncmail.net</p>
<p style="text-align: center;">NORTH DAKOTA</p> <p>Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us</p>	<p style="text-align: center;">RHODE ISLAND</p> <p>Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us</p>

<p style="text-align: center;">SOUTH CAROLINA</p> <p>Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 aburgess@budget.state.sc.us</p>	<p style="text-align: center;">TEXAS</p> <p>Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us</p>
<p style="text-align: center;">UTAH</p> <p>Carolyn Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 cwright@gov.state.ut.us</p>	<p style="text-align: center;">WEST VIRGINIA</p> <p>Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org</p>
<p style="text-align: center;">WISCONSIN</p> <p>Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street – 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us</p>	<p style="text-align: center;">AMERICAN SAMOA</p> <p>Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs Office of the Governor/Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p>

<p align="center">GUAM</p> <p>Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 jer@ns.gov.gu</p>	<p align="center">PUERTO RICO</p> <p>Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783</p>
<p align="center">NORTHERN MARIANA ISLANDS</p> <p>Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 omb.jseman@saipan.com</p>	<p align="center">VIRGIN ISLANDS</p> <p>Ira Mills Director, Office of Management & Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 irmills@usvi.org</p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].

SUGGESTED CHECKLIST FOR APPLICATION COMPLETION

1. Have you completed the ED 424 Cover Page - Institutional Identification form in its **entirety**? (especially the **name, telephone and number, including area code, and e-mail address of the person who will be the day-to-day project manager**)
2. Have you checked the **correct** box in item 10 of ED 424 (Cover Page) to indicate whether the application is required to undergo a state review?
3. Have you provided **resumes** of key personnel (Title III Coordinator/Project Director) who will be supported by grant funds and who are currently employed at the institution?
4. Have you provided **position** or **job descriptions** for all persons who will be hired expressly to carry out activities under the grant?
5. Have you provided an **itemized** budget for each activity? Are the budget items **directly related** to the narrative portion of the application? Have you itemized with unit costs, quantities, etc., so that the Program Officers **know how you arrived at each total figure**? Have you justified, in the budget notes and/or the narrative, the costs in the budget categories since the justification serves as the basis for judging allowability and reasonableness?
6. If there is a subcontract with an aggregate expenditure to exceed \$5,000, have you explained the **criteria** to be used in selecting a contractor, the basis for arriving at the projected cost, and whether **competitive** bids will be sought or will some other procurement policies be used to provide for open and free competition?
7. If consultants are to be used, have you **justified the need** for consultants and provided the **basis** upon which you determined the fee to be paid to consultants? Is the fee based upon an **established** institutional policy? If there is no institutional policy, have you described how you determined that the fee is **comparable** to consultant fees paid in the area for **identical** or **similar** services?

APPLICATION TRANSMITTAL INSTRUCTIONS

An application for an award must be mailed or hand delivered by the closing date.

Application Sent by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA 84.013B (be sure to include correct alpha description) 400 Maryland Avenue, S.W., Washington, D.C. 20202-4725. Please do not send application to the Program office.

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail.

Each late applicant will be notified that its application will not be considered.

Application Delivered by Hand/Courier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building, 7th and D Streets, S.W., Washington, D.C. 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 708-9493

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant contract opportunities electronically in several different ways:

ED Internet Home Page	http://www.ed.gov/
	Gopher://gopher.ed.gov
OCFO Web Internet Page	http://ocfp.ed.gov/

